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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/865,066	05/24/2001	Clive Hoggart	9229.00	6693

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EXAMINER

PHAN, THAI Q

ART UNIT	PAPER NUMBER
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2128

DATE MAILED: 01/14/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Applicati n No.

09/865,066

Applicant(s)

HOGGART ET AL.

Examiner

Thai Q. Phan

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-- The MAILING DATE of this communication appears on the cover sheet with the c rrespondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 24 May 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 May 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

This office action is in response to patent application S/N: 09/865,066. Claims 1-20 are pending in this action.

#### ***Drawings***

The drawings filed on 05/24/2001 are acceptable for examination.

#### ***Priority***

Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

#### ***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

2. Claims 1-20 are rejected under 35 U.S.C. 102(a) as being anticipated by Chen, US patent application publication US 2002/0010691 A1.

As per claim 1, Chen anticipates a method and a computer system for performing event prediction with feature limitations very identical to the claimed invention ([0095] to [105]). According to Chen, the method includes steps:

Accessing data about other entities for which the specified event has occurred in the past after the specified trigger event ([0123] to [0124]),

Accessing data about the entity for which the prediction is required ([025]),

Creating a Bayesian statistical model on the basis of the accessed data [0127],

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And using the model to generate the prediction, wherein the data comprises a plurality of attributes associated with each entity and wherein creating the model comprises partitioning the attributes into a plurality of partitions ([0029], [0060]-[0076].

As per claim 2, Chen anticipates event prediction as claimed ([0123]).

As per claims 3-6, Chen anticipates the apparatus and method for analyzing user data which would include data related to customer, business operation to banking, financing, etc as claimed.

As per claim 7, Chen analysis model takes into account the assumption that the specified event will not occur for some of the entities [0123].

As per claims 8-16, Chen anticipates Bayesian framework, event attributes, likelihood function, optimal partitions for knowledge discovery or event prediction as claimed ([0059] to [0066], [0092]-[0094], [0124]-[0127]).

As per claim 17, Chen anticipates a method and a computer system for performing event prediction with feature limitations very identical to the claimed invention ([0095] to [105]). According to Chen, the system includes steps:

An input for accessing data about other entities for which the specified event has occurred in the past after the specified trigger event ([0123] to [0124]) and accessing data about the entity for which the prediction is required ([025]),

A processing means or the claimed processor for creating a Bayesian statistical model on the basis of the accessed data [0127],

And using the model to generate the prediction, wherein the data comprises a plurality of attributes associated with each entity and wherein creating the model comprises partitioning the attributes into a plurality of partitions ([0029], [0060]-[0076].

As per claim 18, Chen anticipates a computer program for controlling a computer system to predict a specified event occurrence for a specified trigger event with feature limitation very identical to the claimed invention (see [0095] to [105]). According to Chen, the computer program includes means:

Accessing data about other entities for which the specified event has occurred in the past after the specified trigger event ([0123] to [0124]),

Accessing data about the entity for which the prediction is required ([025]),

Creating a Bayesian statistical model on the basis of the accessed data [0127],

And using the model to generate the prediction, wherein the data comprises a plurality of attributes associated with each entity and wherein creating the model comprises partitioning the attributes into a plurality of partitions ([0029], [0060]-[0076].

As per claim 19, Chen anticipates a computer readable medium for storing the computer program above.

As per claim 20, Chen anticipates a method and a computer readable medium for performing event prediction with feature limitations very identical to the claimed invention ([0095] to [105]). According to Chen, the computer program product and readable medium includes functional means:

Accessing data about other entities for which the specified event has occurred in the past after the specified trigger event ([0123] to [0124]),

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Accessing data about the entity for which the prediction is required ([025]),

Creating a Bayesian statistical model on the basis of the accessed data [0127],

And using the model to generate the prediction, wherein the data comprises a plurality of attributes associated with each entity and wherein creating the model comprises partitioning the attributes into a plurality of partitions ([0029], [0060]-[0076].

### ***Conclusion***

1. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

1. US patent no. 5,809,499, issued to Wong et al, on Sept. 1998
2. US patent no. 6,405,200 B1, issued to Heckerman, David, on June 2002
3. US patent no. 6,546,378 B1, issued to Daniel Cook, on Apr. 2003
4. US patent no. 6,792,399 B1, issued to Phillips et al, on Sept. 2004

2. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thai Q. Phan whose telephone number is 571-272-3783.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jean Homere can be reached on 571-272-3780. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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3. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see <http://pair-direct.uspto.gov>.

Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Jan. 03, 2005



Thai Phan  
Primary Examiner  
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